

**SECTION J - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS**

**ATTACHMENT 3 - REPORTING REQUIREMENTS**

### **ATTACHMENT 3 - REPORTING REQUIREMENTS**

The following reports are required to be submitted by the Contractor. This list is subject to change at the discretion of the Contracting Officer (CO). Additionally, the distribution list and the content/format requirements for the reports will be determined by the CO. The form, format and level of detail of these reports shall not be substantially changed without the prior approval of the CO.

This list has been provided as the minimum reporting requirements and the omission of any reporting requirement of any applicable law or regulation, or DOE Directive (as provided in the List A or List B) does not affect the obligation of the contractor to comply with such reporting requirement pursuant to the terms of the contract.

<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
<b>General Management</b>			
Management Plan (Contractor management approach values, objectives, policies, requirement statements, and other)	DOE-FCP	Within 30 days of contract award then, as requested by DOE	CO Approval
Comprehensive Groundwater Strategy	DOE-FCP	Within 60 days of contract modification then, as requested by DOE	CO Approval
FCP/Comprehensive Exit/Transition Plan	Contract Clause C.3.7	Not later than 09/30/04; update 1 yr. prior to Site Closure	CO Approval
Staffing Analysis	Contract Clause H.7.a	Submit concurrently with the Revised Baseline; then, Semi-annually	CO Approval
Notification of Increase to Minimum Insurance Amounts	Contract Clause H.16	as needed	CO Notification
Grievance Settlement Report (Rationale & dollars for each settled grievance)	DOE-FCP	Monthly	CO Information
Small Business Subcontracting Plan (Previously known as Small, Small Disadvantaged and Women-owned Small Business Subcontracting Plan)	Contract Clause I.24	With proposal, and propose goals/ changes by 08/01 for next FY.	CO Approval
Subcontracting Report for Individual Contracts (SF 294)	Contract Clause I.24 (j) (1)	Semi-annual, 04/30 & 10/30; and upon contract completion	CO Information
Summary Subcontract Report (SF 295)	Contract Clause I.24 (j) (2)	Annually by 10/30	CO Information

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Organizational Conflicts of Interest Update	Contract Clause I.100.c	Upon changes	CO Notification
Legal Management Plan	Contract Clause H.13	Within 60 calendar days of contract award.	CO Approval
Notification of Labor Disputes and all relevant information.	Contract Clause I.29	As required by clause.	CO Notification
Comprehensive Long Term Stewardship Plan	Contract Clause C.3.7 PBS-12 & Ohio EPA	Within 180 days of contract award & following changes	CO Approval initially & following changes
Contract Close-Out Plan	Contract Clause F.7	Concurrent with letter declaring accomplishment of physical completion	CO Approval
Commercial Printing Report	Government Printing and Binding Regulations Title IV, Section 49-1	Annually, as requested by DOE-HQ	CO Information
Printing and Publishing Three Year Plan	DOE-HQ Letter (1998)	Annually, as requested by DOE-HQ	CO Information
Energy Employees Occupational Illness Compensation Program Act (EEOICPA) claims activity report	EEOICPA Act of 2000, SOW, Section C.4 and DOE Letter DOE-806-01, dated August 10, 2001	Monthly	CO Information
Records Management Plan	Contract Clause C.3.4	Within 45 days of contract modification; updates as necessary	CO Approval
<b>Project Control/Management</b>			
Baseline Change Proposals incorporating changes within the scope; certified cost and pricing data	Contract Clause B.6	Within 45 days of modification affecting baseline. Once approved provide baseline on CD-ROM	CO Approval
Performance Management Plan (Total Project)	Contract Clause H.9	Annual	CO Approval
Project Execution Plan (PBS 7 only)	Contract Clause H.9	As requested	CO Approval
Current Year Work Plan (PBS; Total Project)	Contract Clause H.9	Annual	CO Information

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Baseline Summary & Status Report (PBS; Total Project)	Contract Clause H.9	End of calendar quarter (within 30 calendar days) Provide on CD-ROM	CO Information
Milestone Schedule Status (PBS; Total Project)	Contract Clause H.9	End of calendar month (within 30 calendar days)	CO Information
Cost Management Report (PBS; Total Project)	Contract Clause H.9	End of calendar month (within 30 calendar days)	CO Information
Project Control System Description (Total Project)	Contract Clause H.9	Following significant change	CO Approval
WBS Dictionary and Index (Total Project)	Contract Clause H.9	Following significant change Provide on CD-ROM	CO Approval
Cost Performance Reports (Control Account; PBS)	Contract Clause H.9	End of calendar month (within 30 calendar days)	CO Information
Supplementary Information	Contract Clause H.9	As requested	CO Information
Quarterly Critical Analysis (PBS; Total Project)	Contract Clause H.9	End of calendar quarter (within 30 calendar days)	CO Information
Risk Management Plan (PBS; Total Project)	Contract Clause H.9	Within 45 days of contract modification affecting SOW; Semiannual	CO Information
IPABS Reporting (PBS; Total Project)	Contract Clause H.9	End of calendar quarter (within 30 calendar days) Database	CO Information
Total Project Cost/Management Res. Log/Baseline Change Control Log (PBS; Total Project)	Contract Clause H.9	End of calendar quarter (within 30 calendar days)	CO Information
Five Major Milestones (Total Project)	Contract Clause H.9	Annual by Sept. 1	CO Approval
<b>Schedule/Labor/Cost</b>			
Walk-through Inspection	41CFR101-25.109-1 41CFR109-25.109-1(a)	Per PMR requirements	CO Notification

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Motor Vehicle Reports: Report of exempted motor vehicles Agency report of motor vehicle data Motor vehicle appropriation report	41CFR101-38.204-4 41CFR109-38.903-50 OMB Circular No. A-11	Annually- After end of FY; No later than 10/15	CO Notification
CFO Congressional Budget Estimate (to include Motor Vehicle Annual Forecast)	DEAR 945.570-8, DOE PMR 109-26.205-50(b) Public Law 99-272	Annually, upon request for next FY	CO Notification
Personal Property Reports: Furnished to Non-Fed Recipients Negotiated Sales Report Annual Report on Sale of Property Physical Inventory of Equipment- (biennial) Physical Inventory of Sensitive Items Annual Stores Inventory	41CFR109-43.4701(c) 41CFR109-45.4702 DOE-OH request 41CFR109-1.5110(f)(1) 41CFR109-1.5110(f)(2) 41CFR109-1.5110(f)(3)	Annually by 10/31	CO Notification
Personal Property Capital Equipment Report	DOE Request	Semi-Annually, 04/15 & 10/15	CO Information
Government Property Missing, Lost, Damaged or Theft Report	41CFR109-1.5112 41CFR109-1.5113	Monthly	CO Information
Termination Inventories	FAR, Part 45 Subpart 45.508	Upon termination or completion of contract	CO Notification
Information as required by Title V of the Stewart B. McKinney Homeless Assistance Act ("McKinney Act")	42 U.S.C. 11411	Quarterly, as requested by DOE- HQ CR-80; report sent to DOE-OH	CO Information
Maintenance Implementation Plan (MIP)	DOE 4330.4B	Changes to MIP for nuclear facilities shall be submitted and approved prior to implementation. For new nuclear facilities, submit MIP 90 days prior to startup.	COR Approval
<b>Performance Measurement</b>			
Maintenance Performance Indices Report (Status of Work Orders for nuclear facilities and AWWT only)	DOE 4330.4B	Quarterly	CO Information

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
<b>Finance</b>			
Annual Activity Report for Internal Audit and Annual Audit Plan (Annual report of audit activities with a copy to the cognizant Office of Inspector General; annual audit plan)	Contract Clause I.113 (h), DOE Acquisition Guide, Cooperative Audit Strategy	Annually, by 10/31	CO Information
Erroneous Payments Reporting	DOE-0329-02, dated 2/19/02 OMB driven	Quarterly, 25 <sup>th</sup> of the month following end of FY quarter	CO Information
Certified Payroll Report	Contract Clause I.34(b)(1)	Weekly	CO Information
<b>Technical – Environmental Compliance</b>			
Consent Agreement/Federal Facility Compliance Agreement/Federal Facility Agreement and Remedial Investigation/Feasibility Study Monthly Progress Report (Report of significant activities completed during the preceding month. Quarterly provides status of implementation of remedial activities and specific effluent radionuclide data)	ACA, FFCA, FFA-CARE	Monthly and Quarterly	Field Office Mgr. Approval through COR
SARA 312 Annual Report (Emission discharges and releases of toxic chemicals, waste minimization and pollution prevention data)	OAC 3745-30	Annually	CO Information
SARA 313 Annual Report (Inventory of Toxic Chemicals)	EO 12856	Annually	CO Information
NPDES Discharge Monitoring Report (Monthly waste water discharge data, flow data, and concentrations of non-radioactive pollutants)	OAC 3745-33	Monthly	CO Information
NPDES Noncompliance Reports (Description of exceedances from permitted discharge limits, causes, and corrective actions)	NPDES Permit	As needed	CO Information
Annual NESHAP Report (Radionuclide air emission data, description of emission sources, and dose to offsite residents)	40 CFR 61	Annually	CO Information

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Annual Chief Financial Officer's Report on the DOE Federal Facility Compliance Act	FFCA	As requested	COR Approval
Part A & B Permit Applications (Description of inventory and management of hazardous waste)	EPA Director's Findings & Orders (DF&O)	As required by DF&O	Field Office Mgr. Approval through COR
RCRA Annual Report (#49) (Description of inventory and management of hazardous waste)	OAC 3745-52-41 OAC 3745-65-75	Annually	Field Office Mgr. Approval through COR
Notice of Violation (NOV) Status Report (Update of Notices of Violations and Warning Letters from regulatory agencies)	DOE Ltr. EH-22	Semi-annually	Field Office Mgr. Approval through COR
RCRA Agency Summary Report (formerly the Affirmative Procurement Report- volume of products containing recoverable materials purchased in previous FY)	FAR 52.223-10	Annually, as requested by DOE-HQ	CO Notification
Annual Report of Waste Generated and Pollution Prevention Progress (Reports volumes and types of waste generated in the previous CY)	DOE 5400.1	Annually by 03/01	CO Information
Poly-Chlorinated Biphenyl (PCB) Annual Document Log (Log of PCBs)	TSCA	Annually by 07/01	COR Approval
Integrated Environmental Management Plan (IEMP) [Plan details groundwater, surface water, sediment, air and biota (produce sampling/monitoring program)]	OU5 Remedial Design (RD) Work Plan DOE O 5400.1	Biennial Revision 01/01 of 2003, 2005, 2007. In alternate years (2004 and 2006) perform annual review by 01/01	CO Information
Awareness Plan	DOE 5400.1	Every 3 <sup>rd</sup> year in May	CO Information
Fuel Usage & Analysis Report (Summary of daily amount of fuel oil combusted and fuel analysis)	Ohio EPA Permits	Quarterly	CO Information
Well Plugging and Abandonment Information	ORC 1521.05(B)	Annually	CO Information

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Integrated Environmental (IEMP) Monitoring Plan, Mid-Year Data Summary	IEMP (Rev. 2 or latest revision); Remedial Design Work Plan for Remedial Actions at Operable Unit 5	Annually by 11/30	CO Information
Site Environmental Report (Restoration of water, land and air pathways at FCP; health hazards associated with radiation or radioactive materials; state, federal, local and DOE Compliance status, issues, and permits to meet the objectives of CERCLA, RCRA, CAA and CWA)	DOE O 5400.1	Annually by 06/01	COR Approval
<b>Human Resources</b>			
Advance Understandings on Human Resources Policies and Systems	Contract Clause H.7.h	Within 30 days of notification of contract award; upon changes	CO Approval
Compensation Increase Plan (Salary Plan)	DOE O 350.1 Chg.1	Annually by 11/15 of each year for the next CY	CO Approval
Application for Contractor Compensation Approval (DOE F3220.5 for each of the five most highly compensated employees within the Contractor's Organization)	Contract Clause H.7.h.2, DOE Acquisition Letter 2000-12, dated 12/15/00, or any subsequent revision	Annually by 04/01	CO Approval
Report of Compensation (Report of subtotal dollar amounts for exempt and nonexempt employees and individual compensation at \$100,000 and above)	DOE O 350.1 Chg.1	Semi-annually 04/15; 10/15	CO Information
Contractors Report of Frequency Distribution Compensation (Submitted with Report of Compensation) (only those instances outside the Salary Plan) (Report of frequency distribution of employee compensation)	DOE O 350.1 Chg. 1	Semi-annually	CO Approval
Report of Contractor Expenditures For Employee Supplementary Compensation (Break down of employee benefits compensation)	DOE O 350.1 Chg. 1	Annually by 3/1	CO Information



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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Summary Cost Report of Fringe Benefits	DOE-FCP CO	60 days after contract award, then 04/15 for each CY end & 10/31 for each FY end, starting in FY01	CO Information
Contractor Salary-Wage Increase Expenditure (Reports breakouts for merit, promotion variable pay, special adjustments & structure movements for each pay structure)	DOE O 350.1	30 days after program year	CO Information
Equal Opportunity SF100 (EEO-1)	41 CFR 60-1.7(a)(1), Contract Clause I.42 (b)(7)	Annually by 09/30	CO Information
Employment Reports for Disabled Veterans and Veterans of the Vietnam Era (Federal Contractor Veterans' Employment Report VETS-100)	Contract Clause I.45 (a)	Annually by 09/30	CO Information
Actuarial Valuation Reports (Report of annual actuarial valuation report for each DOE-reimbursed pension plan)	DOE O 350.1	Annually by 09/30 following the plan year	CO Notification
Form 5300 (Part of tax return submitted to the IRS that document the establishment, amendment, termination, spin-off, or merger of a plan)	DOE O 350.1	As required	CO Notification
Form 5500 (Part of tax returns submitted to the IRS for each DOE-funded pension plan. Includes Actuarial Certification and Employer Certification (sponsor/participating employer in FCP pension plan.))	DOE O 350.1	Annually by 10/15 following the plan year	CO Notification
Semi-annual Davis Bacon Act Enforcement Report (Report of Davis-Bacon employment and wages)	29 CFR Part 5.7(b)	Semi-Annually	CO Notification
Collective Bargaining Negotiation Positions	DOE-FCP CO	Prior to start of negotiations and prior to discussion of changes including quantification	CO Approval

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Collective Bargaining Agreements	DOE-FCP CO	ASAP after conclusion of negotiation	CO Notification
Report of Settlement (Provides the Contracting Officer with a settlement summary after formal ratification of a collective bargaining agreement)	DOE-FCP CO	30 days after contract settlement.	CO Notification
Report of Contractor Employment	DOE O 350.1 Chg.1	Quarterly 01/10; 04/10; 07/10; 10/10	CO Information
DOE Contractor Employment Distribution by Program (Submitted with Report of Contractor Employment)	DOE O 350.1 Chg.1	Quarterly 01/10; 04/10; 07/10; 10/10	CO Information
Affirmative Action Compliance Program- Females and Minorities	41CFR60-1.40(a) 41CFR60-1.40(c) 41CFR60-2.14	Annual Update by 01/31	CO Notification
Affirmative Action Compliance Program- Veterans and Individuals with Disabilities	41CFR250.5(a) 41CFR250.40(b) 41CFR250.50(c) 41CFR741.40(b) 41CFR741.40(c)	Annual Update by 07/1	CO Notification
<b>Technical – Safeguards &amp; Security</b>			
Cyber Security Program Plan (Annual computer protection plan)	DOE N 205.1	DOE Initial approval; DOE approval of updates as necessary	CO Information
Security Incident Reports	DOE N 471.3	In accordance with Notice specified frequency	CO Notification
Protective Force Cost/Strength Report (Tally of protective force)	NN 513.1/DOE-HQ Ltr 06/20/97	Quarterly	CO Information
Nuclear Material Reporting: Overall accountability analysis Nuclear Material Book Inventory Certification of Inventory Transaction Journal ADP Control and Accountability Transaction Report Report of Physical Inventory	DOE O 474.1	As required by the Directive	CO Information

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Fernald Physical Protection Plan	DOE O 470.1, Chg. 1	Annually	COR Approval
Self-assessment of MC&A System Effectiveness	DOE O 474.1	Annually	CO Information
<b>Technical – Safety and Health</b>			
Forecast of Foreign Travel	As requested by DOE-HQ/EM-1	Semi-annually, 2/1 and 8/1	CO Information
Individual Accident/Incident Report (DOE F 5484.3) (Number of new and revised Individual Accident/Incident reports)	DOE O 231.1 Chg.2	Quarterly (To be submitted 01/25; 04/25; 07/25 & 10/25 for receipt by the CAIRS Data Coordinator)	CO Information
Tabulation of Work Hours and Vehicle Usage and Property Valuation (DOE F 5484.4) (Tabulation of Work Hours and Vehicle Usage and Property Valuation)	DOE O 231.1 Chg.2	Quarterly (The form mailed to the CAIRS Data Coordinator for receipt by 01/25; 04/25; 07/25; & 10/25).	CO Information
Annual Exposure Data Reporting (Radiation Exposure Information System Report)	DOE 231.1, Chg. 2	Annually by 03/31 for the preceding year	CO Information
PAAA Tracking System or Status Reports	Contract Clause H.11	On request	CO Information
Update of the Integrated Safety Management System (ISMS) Description Document	Contract Clause I.112 (e)	As soon as is practical, but no later than 01/31/01 then; Annually by 03/06	CO Approval
Review/Update of ISMS Safety Performance Objectives/Measures/Commitments	Contract Clause I.112 (e)	As soon as is practical, but no later than 1/31/2001 then; Annually by 03/06	CO Approval
Authorization Agreement Certification (Contractor letter to DOE-FCP certifying the annual review of the Authorization Agreement is complete & updated as necessary.)	Authorization Agreement	Annually by 03/06	CO Information
Annual Emergency Readiness Assurance Plan (ERAP) (ERAP and 4 <sup>th</sup> Qtr. Metrics combined)	DOE O 151.1A, CRD	COR Initial approval; COR approval of updates as necessary	COR Approval

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<b>Report Name</b>	<b>Driver</b>	<b>Frequency</b>	<b>Approval Required</b>
Site Hazard Surveys (Site Hazard Assessment and Hazard Survey)	DOE O 151.1A, CRD	Update every 3 years minimum; more frequently as needed	CO Approval
Comprehensive Emergency Management Program Plan (FCP Emergency Plan)	DOE O 151.1A, CRD	Update as needed	COR Approval
Employee Concern Program Status Report	DOE O 442.1	Quarterly	CO Information
Startup Notification Report	DOE O 425.1B	Quarterly	CO Approval
USQ Program Summary Report	10 CFR 830.203 (f)	Annually 03/01	Field Office Mgr. Approval through COR
Documented Safety Analysis Update	10 CFR 830.202(c)(2)	Annually 04/01	Field Office Mgr. Approval through COR
Annual Report of Environmental, Safety, and Health Assessments (DNFSB 2000-2 commitment)	DOE N. 231.1	Annually, for proceeding CY by 01/15	CO Information